

# Record Keeping

## Claims administration

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✓ Communication with stakeholders

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Quality assurance

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## Introduction

All claims received by Comcare have a claim number assigned to them. Each electronic document associated with a claim file receives a separate record number.

Claim files should only contain information relevant to that specific claim and all information on files must be managed and stored in accordance with the Australian Privacy Principles (APPs). You are responsible for ensuring information on claim files is accurate, up to date and complete, giving specific consideration to *APP10 - Quality of personal information*. Should information be found on a file that does not relate to that file, then you are responsible for ensuring it is removed and placed on the correct file.

The following documents must be included in a claim file:

- a copy of all letters sent (including attachments)
- copies of emails and other electronic materials related to the claim
- copies of any manual calculations made when determining benefits
- file notes (written records of conversation and actions), and
- all correspondence Comcare receives related to the claim, such as:
  - medical certificates
  - medical reports
  - claim for time off work forms
  - rehabilitation and return to work forms
  - rehabilitation reports
  - medical accounts and invoices
  - rehabilitation accounts and invoices
  - a copy of any original document where the copy has been annotated with further information.

**Note:** Letters generated in Pracsys are automatically attached to the claim file.

**See:** [Removing and redacting information from a file](#)

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## File notes

All phone conversations and verbal discussions, such as meetings or case conferences, that occur during the course of managing a claim must be recorded in writing using the file note functionality in Pracsys.

File notes must also be made to document reasons for decisions being made, such as determinations of entitlements or a decision not to action a Clinical Panel recommendation.

File notes are important because they:

- document information provided orally by the employee, their employer or another representative
- detail the thinking of the decision maker and explain reasons why a decision was made
- are useful in the event of a handover to another Claims Manager
- provide an accurate record that can be relied on as evidence
- provide guidance on planned next steps or future actions to be undertaken.

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## Making File notes

File notes can be transcribed directly into Pracsys using the '*Manage Claim Comment*' (MCOM) function.

File notes should ideally be objective rather than subjective. Objective information is factual, measurable and observable. Subjective statements are based on personal opinion, interpretation, emotion and judgement. If a subjective

statement is used it must be clear it is an opinion. For example, 'the employee seemed frustrated when I told him the adverse decision'.

File notes must:

- be written as soon as possible after the relevant event
- if a claim comment is not being added on the day of the activity, the date of the occurrence must be included in the comment.
- be noted under the correct category and code
- state the name of the person, or people, you spoke to, who they are, and the purpose of the conversation
- accurately record any explanations or undertakings given
- document any agreed actions or follow up dates
- be confined to the facts
- record the reasons why a decision was made
- be concise, use short sentences, paragraphs and plain language
- take into consideration that the information recorded can be obtained under section 59 of the SRC Act, or the *Freedom of Information Act 1982*.

File notes must not:

- state any irrelevant or unsubstantiated personal observations or views, or
- include any personal information relating to another person unless that information is relevant to the management of the claim
- use or contain more words than are necessary for recording an accurate record.

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## Maintaining a claim file

Claim files that are kept up to date and well organised assist not only the Claim Manager, but also work colleagues and other areas of Comcare who may need to access the file.

Comcare also has obligations under the *Privacy Act 1988* to ensure that the personal information collected, used and disclosed is accurate, up to date, complete and relevant.

You are responsible for maintaining the electronic files and must ensure that the metadata information is correct.

Metadata is the information entered to describe a document on an electronic file. This data is used to manage, find and categorise documents.

There are two sections in the metadata which you are responsible for updating:

### **Document type**

This field provides broad classifications of data for most correspondence you will receive. You must classify documents to the lowest appropriate 'Document Type' level on files they manage. The lowest appropriate Document Type is the document types that show when the document type tree is fully expanded.

### **Title**

This column is a free text field where you can enter a brief, meaningful title. It is not to be used as a substitute for correctly classifying documents via the 'Document Type' field. If there is a document type which adequately titles the document, select that document type and then enter the date into the title field.

When entering the title field, it is important that:

- the date be entered first, and
- meaningful information be provided about the content of the document,

**Note:** You must ensure that graphic or distressing material is not kept on the claim file. If you receive graphic or distressing material, you should:

- *Store the information in an appropriate place in accordance with local protocols.*
- *Depending on local protocols the file may need to be locked to protect others from accidentally opening it.*

- *Do not pass the content on unless appropriate or necessary. Ensure if you are sending on to someone it is labelled appropriately, and you provide warning to the recipient.*

*If you are unsure, please discuss with your AD.*

*For further information on managing/viewing graphic or distressing content, please see the guidance documents below.*

[How to prepare to view graphic content](#)

[How to protect others from graphic content](#)

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## Labelling metadata

Metadata labelling of electronic documents can be actioned in Pracsys from several locations.

You can right or double click on the document type field from metadata in their team or personal in-tray to bring up the 'Changing Document Type' screen.

When labelling documents, it is important to:

- classify the document as accurately as possible (expand and navigate the document type tree to select the correct document type)
- give the document a correct title (click on the title field, this will allow the title to be edited).

You can also edit the metadata through 'Manage Claim Documents' (MDOC). In the MDOC screen the current document type will be listed in the document type field. To change the document type, select document and the 'Edit' option which will open up a new window 'Editing Document Metadata'.

To make any changes to the document type, select the button next to document type. To change the document type:

- expand and navigate the document type tree
- select the appropriate document type

- click 'OK'.

**See:** [Metadata Quickstart Guide](#)

## Maintaining a hybrid or paper claim file

A hybrid file consists of paper documents (usually dated on or before 31 December 2006) and electronic documents after that date.

In Pracsys the button next to the claim number in the top left corner will be labelled 'Hybrid' instead of 'Electronic' and there will also be a notation in the top right corner of the 'Manage Claim Documents' screen labelling the file as 'Hybrid'

All paper-based components of hybrid files have an advisory sheet attached to the top of the last file advising that the file is a hybrid file, and no further documents can be attached. Hybrid notations are also attached to the file cover to give a visual alert on the current file status.

Paper files are no longer created; however it may be necessary to access an old paper file in the instance of a claim re-opening.

Appropriate maintenance of a paper file includes ensuring:

- all papers are securely attached to the claim file to prevent loss
- all documents have a folio number in ink in the top right-hand corner
- the file location is recorded in Pracsys, and
- no records from the file are removed or destroyed.

### **Requesting a paper claim file**

Go to 'Amend File Location' (FLOC):

- select the relevant claim
- select 'Next'
- select the 'File Centre Request' tab
- select 'New'
- select 'OK', and
- select 'Amend'.

### **Lifting paper claim files**

- Know your personal capacity
- Bend legs at the knees and keep your back straight
- Use aids to lift heavy files

**See:** [Metadata Quickstart Guide](#)

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